

FSA Modernization Program
United States Department of Education
Federal Student Aid



Release 2.0 School Group Functionality Design

Task Order #116

Version 1.1

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Revision History

Date	Version	Description	Author	
<u>03/08/2004</u>	<u>1.0</u>	<u>Added "School Group" functionality, as per R2.0 requirements</u>	<u>Ben Lopez</u>	Deleted: 12/09/2003 ... [1]
<u>03/10/2004</u>	<u>1.1</u>	<u>Revised as per Design Meeting 3 Notes</u>	<u>Ben Lopez</u>	Deleted: 2/25/2004 ... [2]

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AS-IS INCOMPLETE SUBMISSIONS PROCESS 1¶
ANNUAL SUBMISSION 1¶
NON-ANNUAL SUBMISSION (STUB AUDIT, CLOSEOUT, INITIAL, AND MERGER/CIO) 1¶
TO-BE INCOMPLETE SUBMISSIONS PROCESS 2¶
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AS-IS INCOMPLETE SUBMISSIONS PROCESS 1¶
ANNUAL SUBMISSION 1¶
NON-ANNUAL SUBMISSION (STUB AUDIT, CLOSEOUT, INITIAL, AND MERGER/CIO) 1¶
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AS-IS INCOMPLETE SUBMISSIONS PROCESS 1¶
ANNUAL SUBMISSION 1¶
NON-ANNUAL SUBMISSION (STUB AUDIT, CLOSEOUT, INITIAL, AND MERGER/CIO) 1¶
TO-BE INCOMPLETE SUBMISSIONS PROCESS 2¶
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QC USER MARKS SUBMISSION INCOMPLETE, GENERATES INCOMPLETE LETTER 2¶
INSTITUTION USER VIEWS INCOMPLETE SUBMISSION 2¶
CASE USER RETRIEVES INCOMPLETE SUBMISSION 3¶
NON-ANNUAL SUBMISSION 3¶
Revised QC Values for Incomplete E-MAIL NOTIFICATION.....
.....2¶
ANNUAL SUBMISSIONS 1¶
STUB AUDIT AND CLOSEOUT SUBMISSIONS 1¶
OTHER NON-ANNUAL SUBMISSIONS (INITIAL, REINSTATEMENT, MERGER/CIO)1.....
.....2¶
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As-Is School Group Processes

Administrative Stay

- A Co-Team Lead has the ability to place either a Financial Statement or Compliance Audit of a School Group submission on Administrative Stay, if they view the submission through the “Search” process.

Case User Views

- When a Case User selects the Submission Summary link, they are able to view such information as Institution Name, OPEID, Financial Statement and Compliance Audit Quality Control Information, and in the case of School Groups, all Institutions that are members of the School Group.
 - However, Case Users do not have the ability to view the School Group Name on the Submission Summary Page
 - Also, Case Users cannot see who each record of a School Group is assigned to for resolution.

PEPS Interface

- The eZ-Audit system pulls various School Group information from PEPS, including Name and Locator Indicator.

Reports

- A School Group report contains information on OPEID, Institution Name, School Group (i.e. School Group Number), City, State, Postal Code, Country, Case Team, Institution Type, Submission Type, and Fiscal Year End.

Resubmission

- If any part of a School Group Submission is marked Incomplete by a QC user, the entire submission is marked Incomplete after all parts of the submission have been reviewed
- Each part of the Submission must be resubmitted by the Member/Locator responsible for submitting initially

To-Be Incomplete Submissions Process

Administrative Stay

- As per Release 2.0 requirements, Unconsolidated School Groups will be able to submit one Consolidated Financial Statement for the entire School Group, while each Member Institution may submit its own Compliance Audit
- A Co-Team Leader will be able to place one Member Institution’s Compliance Audit on Administrative Stay without affecting the rest of the School Group.

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<#>The QC page will change to allow the QC user to better indicate why a submission is incomplete. QC will continue to be specific to Submission Type (CA vs FS) and Ins Type.¶
<#>QC questions related to specific fields (i.e. Compliance Audit Info, FS Info, or Checklist Questions answered correctly) will not change. ¶

<#>Listbox values for questions “Were all required documents attached?” and “Are all required attachments properly presented?” will be expanded to accommodate specific issues/attachments. See section “Revised QC Values for Incomplete” for details.¶

<#>A new question will be added to address “Are all attached PDFs viewable?” on both the CA and FS QC. See section “Revised QC Values for Incomplete” for details.¶

<#>The QC page will support a comments text box on both the CA and FS QC pages to allow the QC user to record comments they would like to display on an incomplete letter.¶

QC User Marks Submission Incomplete, Generates Incomplete Letter¶

<#>When a QC user selects to submit a CA or FS record as incomplete, the system will generate an “incomplete letter” for review.¶

<#>The incomplete letter will be generated¶

<#>using standard Incomplete letter header/text as defined by FSA.¶

<#>with pre-populated data including current date, INS OPE ID, INS President Name, INS Address, Submission Type, Submission Date, Submission FYE (if applicable).¶

<#>with reasons for incomplete, as selected on the QC page(s).¶

<#>with comments entered by the QC User(s), if present.¶

<#>The QC User will be able to preview the letter for their half of the submission, regardless of the of ... [4]

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Case User View

- A Case User accessing the Submission Summary of a School Group submission will be able to view the School Group Name at the top of all Submission Pages, next to FYE Date and below ACN.
- A link will be located on the Submission Summary Page of each Institution in a School Group that will lead to a School Group Submission Summary Page, named "School Group Assignments."
- The School Group Assignment Page will contain a grid where a Case User will be able to view who each record of a School Group submission are assigned to in the School Group

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PEPS Interface

- The eZ-Audit system will pull the following School Group information from PEPS: Name, Two Year, Consolidation Indicator (Group Type), Locator Indicator
 - Two Year and Consolidation Indicator will be new data fields in PEPS

Reports

- The School Group reports column labeled School Group will reference the School Group "Name" associated with each Institution
- School Group Name information will be extracted from PEPS
- The School Group report will no longer contain the School Group Number data.
- The School Group Name data will replace the School Group Number data in School Group Reports.
- The rest of the data from School Group reports will remain the same.

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Resubmission

- A Member School submission may be marked Incomplete by QC. Only the Member School Submission will be marked Incomplete in the eZ-Audit system.
- The rest of the School Group submission can be marked Complete or Incomplete independently.
- Individual parts of a School Group submission may be resubmitted when marked Incomplete. The system will no longer require the entire submission to be resubmitted to be considered "Complete."
 - The Member Institution with the Incomplete submission will have to resubmit their Incomplete portion of the submission
 - The other Institutions of the School Group will not have to resubmit their portions of the submission in order for the entire submission to be marked Complete.

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Page ii: [1] Deleted		Ben_Lopez	3/1/2004 11:21 AM
12/09/2003	1.0	Incomplete design based on requirements selected in scope for R 2.0.	Rahul Dayal
12/31/2003	1.1	Revised design based on updated requirements and design feedback. For delivery to FSA.	Seth Sinclair
1/15/2004	1.2	Added "Improper Signature" as QC list item.	Seth Sinclair

Page ii: [2] Deleted		Ben_Lopez	2/25/2004 11:21 AM
2/25/2004	1.3	Added "Email Notification" functionality, as per R2.0 requirements	Ben Lopez

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As-Is Incomplete Submissions Process	1
Annual Submission	1
Non-Annual Submission (Stub Audit, Closeout, Initial, and Merger/CIO)	1
To-Be Incomplete Submissions Process	2

As-Is Incomplete Submissions Process	1
Annual Submission	1
Non-Annual Submission (Stub Audit, Closeout, Initial, and Merger/CIO)	1
To-Be Incomplete Submissions Process	2

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Annual Submissions.....	1
Stub Audit and Closeout Submissions	1
Other Non-Annual Submissions (Initial, Reinstatement, Merger/CIO)1.....	2

QC Changes

The QC page will change to allow the QC user to better indicate why a submission is incomplete. QC will continue to be specific to Submission Type (CA vs FS) and Ins Type.

QC questions related to specific fields (i.e. Compliance Audit Info, FS Info, or Checklist Questions answered correctly) will not change.

Listbox values for questions “Were all required documents attached?” and “Are all required attachments properly presented?” will be expanded to accommodate specific issues/attachments. See section “Revised QC Values for Incomplete” for details.

A new question will be added to address “Are all attached PDFs viewable?” on both the CA and FS QC. See section “Revised QC Values for Incomplete” for details.

The QC page will support a comments text box on both the CA and FS QC pages to allow the QC user to record comments they would like to display on an incomplete letter.

QC User Marks Submission Incomplete, Generates Incomplete Letter

When a QC user selects to submit a CA or FS record as incomplete, the system will generate an “incomplete letter” for review.

The incomplete letter will be generated using standard Incomplete letter header/text as defined by FSA. with pre-populated data including current date, INS OPE ID, INS President Name, INS Address, Submission Type, Submission Date, Submission FYE (if applicable). with reasons for incomplete, as selected on the QC page(s). with comments entered by the QC User(s), if present.

The QC User will be able to preview the letter for their half of the submission, regardless of the other half. The system will continue to mark a submission incomplete and display an incomplete letter to an INS only after both portions have been QC'd. The letter may have input from only the CA or FS QC if only one was marked incomplete or input from both the CA and FS QC if both were marked incomplete.

The Incomplete letter preview will provide a “printer-friendly” option.

The QC User has the ability to accept or reject the Incomplete Letter.

If the QC user decides to reject the incomplete submission letter, the system will return to the QC page. The QC user will have the ability to edit the QC page and submit again.

If the QC user accepts the incomplete submission letter and both portions of the submission have been QC'd, the correspondence log will be automatically updated with an entry that states an incomplete submission letter has been posted.

The system will generate an email notifying the Institution President and Contact person (captured from Contact Info on the Ins Submission) that an Incomplete Letter has been posted.

Institution User Views Incomplete Submission

When Institution user logs into the system, their homepage will display with a notification stating that the submission has been marked incomplete.

The system will provide a way for the Ins User to view the Incomplete Letter.

The system will display a “Resubmit” link for an Annual Submission in the left navigation bar.

When the “Resubmit” link is clicked, the system will re-populated and Annual Submission with the data originally submitted.

When the Ins User selects to view the Incomplete Letter, the correspondence log will update with an automatic entry recording that the incomplete letter was viewed by the institution.

Case User Retrieves Incomplete Submission

Case Users will be able to retrieve incomplete submissions using Search functionality.

The results will display with submission status, allowing the user to see if the result is an incomplete record.

The system will identify Incomplete Submissions by displaying an “incomplete” label on the Submission Summary page.

The system will display the “incomplete” label in the page headers on all resolutions pages.

Incomplete submissions will be un-assignable and view-only.

The system will allow Case Users to view the Incomplete Letter. A link to the letter will be provided on the Submission Summary page.

Non-Annual Submission

The system will provide “resubmit” capability for incomplete non-annual submissions (stub, closeout, reinstatement, merger/CIO, initial).

When Institution user logs into the system, their homepage will display with a notification stating that the non-annual submission has been marked incomplete.

The system will provide a way for the Ins User to view the Incomplete Letter.

The system will display a “Resubmit” link for the non-annual submission in the left navigation bar. NOTE – The link will not replace the link to create a new non-annual submission.

When the “Resubmit” link is clicked, the system will repopulate the non-annual submission with the data originally submitted.

When the Ins User selects to view the Incomplete Letter, the correspondence log will update with an automatic entry recording that the incomplete letter was viewed by the institution.

Revised QC Values for Incomplete

The following QC question/values will need to be revised/added:

FS QC

Are all required documents attached? Yes/No

If no, what is missing?

- Audited Financial Statement is missing.
- Financial Statement Independent Auditors Report is missing.
- Financial Statement Report on Compliance and Internal Controls is missing.
- Other is missing.

Are all attached PDFs viewable? Yes/No

- Audited Financial Statements is not viewable.
- Other is not viewable.

Are all required attachments properly presented? Yes/No

If no, what is incorrect?

- Financial Statement Independent Auditors Report is not titled.
- Financial Statement Independent Auditors Report is not signed.
- Financial Statement Independent Auditors Report has an improper signature.
- Financial Statement Independent Auditors Report is not dated.
- Financial Statement Independent Auditors Report is not on letterhead.
- Financial Statement Independent Auditors Report does not specify GAGAS.
- Financial Statement Independent Auditors Report does not refer to all Financial Statements.
- Financial Statement Independent Auditors Report does not refer to GAAP.
- Financial Statements Report On Compliance and Internal Controls is not titled.
- Financial Statements Report On Compliance and Internal Controls is not signed.
- Financial Statements Report On Compliance and Internal Controls is not dated.
- Financial Statements Report On Compliance and Internal Controls is not on letterhead.
- Financial Statements Report On Compliance and Internal Controls does not specify GAGAS.
- Financial Statements Report On Compliance and Internal Controls does not refer to all Financial Statements.

Compliance Audit QC

Are all required documents attached? Yes/No

If no, what is missing?

- Compliance Audit is missing.
- Financial Statements Report On Compliance and Internal Controls is not dated is missing.
- Servicer Information Sheet is missing.
- Report on Compliance with Specified Requirements Applicable to the FSA Programs is missing.
- Schedule of Findings and Questioned Costs is missing.
- Summary Schedules is missing.
- Auditor's Comments on Resolution Matters Related to Prior Audit Findings is missing.
- Corrective Action Plan is missing.
- Other is missing.

Are all attached PDFs viewable? Yes/No

- Compliance Audit is not viewable.
- Corrective Action Plan is not viewable.
- Other is not viewable.

Are all required attachments properly presented? Yes/No

If no, what is incorrect?

- Auditor Information Sheet is incomplete.
- Auditor Information Sheet does not properly address enrollment percentages.
- Servicer Information Sheet is incomplete.
- Report on Compliance with specified Requirements Applicable to the FSA Programs is incomplete.
- Report on Compliance with Specified Requirements Applicable to the FSA Programs was not signed.
- Report on Compliance with Specified Requirements Applicable to the FSA Programs has an improper signature.
- Report on Compliance with specified Requirements Applicable to the FSA Programs was not dated.
- Report on Compliance with specified Requirements Applicable to the FSA Programs not on letterhead.
- Report on Compliance with specified Requirements Applicable to the FSA Programs did not list all required Management Assertions.
- Report on Compliance with specified Requirements Applicable to the FSA Programs did not clearly identify the periods examined.
- Report on Compliance with specified Requirements Applicable to the FSA Programs did not disclose use of Government Auditing Standards.
- Report on Compliance with specified Requirements Applicable to the FSA Programs did not disclose use of attestation standards established by AICPA.
- Report on Compliance with specified Requirements Applicable to the FSA Programs did not disclose use of the appropriate Audit Guide.
- Schedule of Findings and Questioned Costs is incomplete.
- Summary Schedules is incomplete.
- Summary Schedules do not represent the findings.
- Auditor's Comments on Resolution Matters related to prior audit findings is incomplete.
- Corrective Action Plan is incomplete.
- Corrective Action Plan is not signed.
- Corrective Action Plan has an improper signature.
- Corrective action plan is not on school letterhead